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PTO/SB/08A (10-01)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Sheet 1 of 8

Complete If Known

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|------------------------|-------------------|
| Application Number | 09/005479 |
| Filing Date | January 12, 1998 |
| First Named Inventor | Levergood et al. |
| Art Unit | 2145 |
| Examiner Name | Patrice L. Winder |
| Attorney Docket Number | 432383800013 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cts No. ¹ | Document Number Number - Kind Code ² (if known) | Publication Date/Date of Patent MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear |
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Examiner
Signature

Patrice L. Winder

Date
Considered 1-8-07

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Application Number | 08/005479 |
| | | | | Filing Date | January 12, 1998 |
| | | | | First Named Inventor | Levergood et al. |
| | | | | Art Unit | 2145 |
| | | | | Examiner Name | Patrice L. Winder |
| Sheet | 2 | of | 8 | Attorney Docket Number | 432383800013 |

U.S. PATENT DOCUMENTS

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| Sheet | 3 | of | 8 | | | | | | | | | | | | | | |

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|--------------------|-----------------------|--|--------------------------------|--|---|----------------|
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| plus | | 0172870EP | 2/26/1986 | Technion Research & Development Foundation | | |
| plus | | GB 2102608 | 2/2/1983 | National Research Development Corporation | | |
| plus | | JP 410191 | 1/1982 | | | |
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| plus | | WO 91/16691 | 10/31/1991 | Jonhig Limited | | |
| plus | | WO 93/10503 | 5/27/1993 | Citibank N.A. | | |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Case No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
|----------------------------|----------|---|
| | | PLEADINGS: |
| | | <u>Amazon.com's Reply in Support of Renewed Motion to Stay</u> Deposition of G. Winfield Treese, dated October 27, 2004. |
| | | <u>Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004)</u> |
| | | <u>Joint Claim Construction Chart (Patent Local Rule 4-5D), filed December 27, 2004 with Appendix A</u> |
| | | <u>Memorandum Opinion dated April 7, 2005</u> |
| | | <u>Motion to Stay [Renewed] by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) [Entered: 04/05/2005]</u> |
| | | <u>Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780</u> |
| | | <u>Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination.</u> |
| | | <u>Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004.</u> |
| | | <u>Soverain's Opposition to Amazon's Renewed Motion to Stay</u> |
| | | <u>Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005.</u> |
| | | <u>Soverain's Reply to Response to Motion re: Motion to Stay</u> |
| | | <u>Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Seraphine, Jennifer) [Entered:03/17/2005]</u> |
| | | <u>Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatories (Nos. 1-14) dated March 21, 2005</u> |
| | | <u>Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005</u> |
| | | <u>Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatories (Nos. 17-38) dated March 21, 2005</u> |
| | | <u>Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005.</u> |
| | | <u>Transcript of the Markman Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005.</u> |
| | | <u>VideoTaped Deposition of Andrew Payne dated March 11, 2005.</u> |
| | | <u>VideoTaped Deposition of Glenn Crocker with Exhibits (March 10, 2005)</u> |
| | | <u>VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts).</u> |
| | | <u>VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts).</u> |
| | | <u>VideoTaped Deposition of Stephen Morris dated March 9, 2005.</u> |
| <i>plus</i> <i>plus</i> | | <i>Patricia F. Winder</i> |
| Examiner Signature | | Date Considered 1-8-07 |

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| <p><i>plus</i></p> <p>Amazon.com, Inc.'s Unopposed Motion for Leave to Amend its Answer to Include Allegations Regarding Stuff.com</p> <p>Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112</p> <p>Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '492 claims 17-18 and 35-38, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102</p> <p>Declaration of James E. Geringer in Support of Amazon.com, Inc.'s Motion for Leave to Amend its Answer and Counterclaims to Add Stuff.com</p> <p>Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005)</p> <p>Deposition of Joshua Smith with Exhibits (March 2, 2005)</p> <p>Deposition of Michael Lazzaro with Exhibits (March 9, 2005)</p> <p>Deposition of Thomas Sculianile with Exhibits (March 14, 2005)</p> <p>Exhibit 1 of Geringer Declaration: Excerpts of Deposition of Michael Kunlavsky</p> <p>Exhibit 2 of Geringer Declaration: E-mail from Brooks Cutler to Mike Kunlavsky (June 14, 1994)</p> <p>Exhibit 3 of Geringer Declaration: Excerpts of Deposition of Richard Boake</p> <p>Exhibit 5 of Geringer Declaration: Excerpts of Deposition of Andrew Payne</p> <p>Exhibit 6 of Geringer Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994)</p> <p>Exhibit 7 of Geringer Declaration: Excerpts of Deposition of Winfield Treese</p> <p>Exhibit 8 of Geringer Declaration: Amazon.com, Inc.'s [Proposed] fourth Amended Answer, Affirmative Defenses, and Counterclaims to Sovarain Software, LLC's Complaint (Redlined Version)</p> <p>Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gap dated July 26, 2004</p> <p>Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 18, 2005)</p> <p>Videotaped Deposition of Kevin Mino-Wei Kadala Hughes with Exhibits (March 21, 2005)</p> <p>Videotaped Deposition of Michael Kunlavsky with Exhibits (February 22, 2005)</p> <p>Videotaped Deposition of Phillip Hallam-Baker with Exhibits (March 11, 2005)</p> <p>Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005)</p> <p>PUBLICATIONS:</p> <p>"Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2.</p> <p>"CompuServe Videotex Network Offers Marketing Research Service, Ad Test," Marketing News, Nov. 25, 1983, p. 21.</p> <p>"Electronic In-Home Shopping: 'Our Stores are Always Open,'" Chain Store Age Executive, Mar. 1985, pp. 111, 116.</p> <p>"Mall Offers Holiday Treat for Hackers," Advertising Age, Nov. 13, 1985, p. 76.</p> <p>"Redcoats Join Communications Fight," Industry Week, Feb. 22, 1982, pp. 108-109.</p> <p>"Suddenly, Videotex is Finding an Audience," Business Week, Oct. 18, 1982, pp. 82-84.</p> <p>"Taking Advantage of the Past," Advertising Age, Apr. 11, 1983, pp. M36-37.</p> <p>Allen & Hamilton, How to Buy Information with a First Virtual Account, Apr. 11, 1984, pp. 3-71.</p> <p>American National Standard: "Financial Institution Retail Message Authentication": ANSI X9.18: 1986.</p> <p>American National Standard: "Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions": ANSI X9.2: 1988.</p> <p>Anderson, Ross J.: "UEPS-A Second Generation Electronic Wallet"; Proc. of the Second European Symposium on Research in Computer Security (ESORICS); Toulouse, France; pp. 411-418, no date.</p> <p>Bender, M.: "EFTS: Electronic Funds Transfer Systems"; Kennikat Press; Port Washington, New York; pp. 43-48; 1975.</p> <p>Beutelspacher, et al. "Payment Applications with Multifunctional Smart Cards," Smart Card 2000: The Future of IC Cards, Oct. 1987, pp. 95-101.</p> <p>Bos et al.; "SmartCash: A Practical Electronic Payment System"; pp. 1-8; Aug. 1990.</p> <p>Burk et al.; "Value Exchange Systems Enabling Security and Unobservability"; Computers & Security, 9; pp. 715-721; 1990.</p> <p>Burk, et al. "Digital Payment Systems Enabling Security and Observability," Computers & Security, 1989, pp. 399-415.</p> | | | | | |
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| | | | | Attorney Docket Number | 432383600013 |
| <p><i>plus</i></p> <p>Case Study: The CIRRUS Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985.</p> <p>CCITT Blue Book, vol. VIII; no. 48-91, Nov. 14-25, 1988.</p> <p>Chaum et al.: "Untraceable Electronic Cash"; Advances in Cryptology; pp. 319-327; 1988.</p> <p>Cohen, Danny; "Computerized Commerce"; ISI Reprint Series ISRS-89-243; Oct., 1989; Reprinted from Information Processing 89, Proceedings of the IFIP World Computer Congress, held Aug. 28-Sep. 1 1989.</p> <p>Cohen, Danny; "Electronic Commerce"; University of Southern California Information Sciences Institute, Research Report ISVR-89-244; Oct., 1989.</p> <p>Computerwave International; Compuserve Information Service Users Guide; pp. 109-114; 1988.</p> <p>Computer Fraud & Security Bulletin; "Underlying Security Mechanisms"; Mar. 1997.</p> <p>Computer Shopper; "Internet for Profit"; no. 180-182, 187, 190-192, 522-528, 532, 534; Nov. 1994.</p> <p>Consumers Placing Into New Electronic Mail; Advertising Age; Mar. 4, 1985, p. 74.</p> <p>Damgard, "Payment Systems and Credential Mechanisms with Provable Security Against Abuse by Individuals"; Advances in Cryptology—CRYPTO '88, 1988, pp. 328-325.</p> <p>Davies, D.W. and Price, W.L.; "Security for Computer Networks: An Introduction to Data Security in Teleprocessing and Electronic Funds Transfer"; John Wiley & Sons; Dec. 5, 1985; pp. 304-330.</p> <p>Dukach, Semyon; "SNPP: A Simple Network Payment Protocol"; MIT Laboratory for Computer Science; Cambridge.</p> <p>Even et al.: "Electronic Wallet"; no. 383-388; 1983.</p> <p>Ferrarini, "Direct Connections for Software Selections"; Business Computer Systems; Feb. 1984, pp. 35-38.</p> <p>Fujio, et al., "ESIGN: An Efficient Digital Signature Implementation for Smart Cards"; Advances in Cryptology—Eurocrypt '91, Apr. 1991, pp. 446-457.</p> <p>Gifford, David K.; "Cryptographic Sealing for Information Secrecy and Authentication"; Stanford University and Xerox Palo Alto Research Center; Communications of the ACM; vol. 25, No. 4; Apr., 1982.</p> <p>Hakola, et al., "A System for Automatic Value Exchange"; Proceedings—Fall Joint Computer Conference, 1988, pp. 579-589.</p> <p>Harty et al.; "Case Study: The VISA Transaction Processing System"; 1988.</p> <p>Information Network Institute, Carnegie Mellon University; Internet Billing Server; Prototype Scope Document; Oct. 14, 1993.</p> <p>International Organization for Standardization; "International Standard: Bank Card Originated Messages—Interchange Message Specifications—Content for Financial Transactions"; ISO 8583; 1987.</p> <p>Intuit Corp Quicken User's Guide; "Paying Bills Electronically"; pp. 171-182; no date.</p> <p>Jansson, Lennart; "General Electronic Payment System"; 7th Proceedings of the International Conference on Computer Communication; no. 832-837; 1985.</p> <p>Kenny, "EDI Security: Risks and Solutions"; COMPSEC 1992; The Ninth World Conference on Computer Security, Audit, and Control; Nov. 1992, pp. 341-352.</p> <p>Knapakog, Privacy Protected Payments—Realization of a Protocol That Guarantees Payor Anonymity; Advances in Cryptology—Eurocrypt '88, May 1988, pp. 107-122.</p> <p>Krajewski, M. et al.; "Applicability of Smart Cards to Network User Authentication"; Computing Systems; vol. 7, No. 1; 1994.</p> <p>Krajewski, M.; "Concept for a Smart Card Kerberos"; 15th National Computer Security Conference; Oct., 1992.</p> <p>Krajewski, M.; "Smart Card Augmentation of Kerberos"; Privacy and Security Research Group Workshop on Network and Distributed System Security; Feb., 1993.</p> <p>Lai et al., "Endorsements, Licensing, and Insurance for Distributed System Services"; Information Sciences Institute Univ. of Southern CA, Assoc. for Computing Machinery 1994.</p> <p>Low et al.; "Anonymous Credit Cards"; pp. 1-18.</p> <p>Medvinsky et al.; "Electronic Currency for the Internet"; Electronic Markets; pp. 30-31, Sep., 1993.</p> <p>Medvinsky et al.; "NetCash: A Design for Practical Electronic Currency on the Internet"; Proc. 1st ACM Conf. on Comp. and Comm. Security; Nov., 1993.</p> <p>Messmer, "NIST Stumbles on Proposal for Public Key Encryption"; Network World; Jul. 27, 1992, p. 1.</p> <p><i>plus</i></p> <p>National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29, no date.</p> | | | | | |
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| Examiner Signature | <i>Patrice L. Winder</i> | | | Date Considered | 1-8-07 |

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|------------------------|-------------------|
| Application Number | 09/005479 |
| Filing Date | January 12, 1998 |
| First Named Inventor | Levergood et al. |
| Art Unit | 2145 |
| Examiner Name | Patrice L. Winder |
| Attorney Docket Number | 432383600013 |

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| Examiner Signature | <i>Patrice L. Winder</i> |

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| | | | | First Named Inventor | Levergood et al. |
| | | | | Art Unit | 2145 |
| | | | | Examiner Name | Patrice L. Winder |
| | | | | Attorney Docket Number | 432383800013 |
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